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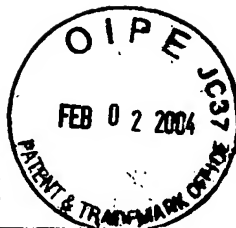
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UNITED STATES  
PATENT AND  
TRADEMARK OFFICE



CORRECTED  
NOTICE

MAY 30, 2003

FULWIDER PATTON LEE & UTECHT, LLP  
THOMAS H. MAJCHER  
HOWARD HUGHES CENTER  
6060 CENTER DRIVE, 10TH FLOOR  
LOS ANGELES, CA 90045

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
www.uspto.gov

RECEIVED  
BY DOCKET DEPT.

JUN 06 2003

ACS-55614

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

FULWIDER PATTON LEE & UTECHT  
LOS ANGELES

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/13/2002

REEL/FRAME: 013202/0969  
NUMBER OF PAGES: 17

BRIEF: CORRECTIVE ASSIGNMENT TO CORRECT THE SECOND ASSIGNOR'S NAME PREVIOUSLY RECORDED ON REEL 012455, FRAME 0087. ASSIGNOR HEREBY CONFIRMS THE ASSIGNMENT OF THE ENTIRE INTEREST.

ASSIGNOR:

PAPP, JOHN E.

DOC DATE: 09/11/2001

ASSIGNOR:

PATEL, ANUJA

DOC DATE: 09/07/2001

ASSIGNOR:

STALKER, KENT B.

DOC DATE: 09/07/2001

ASSIGNOR:

TARAPATA, CHRISTOPHER

DOC DATE: 09/07/2001

ASSIGNEE:

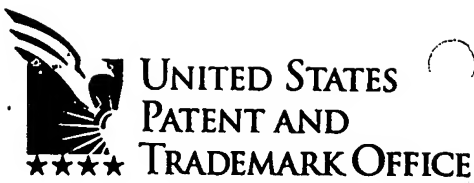
ADVANCED CARDIOVASCULAR SYSTEMS,  
INC.  
3200 LAKESIDE DRIVE  
SANTA CLARA, CALIFORNIA 95054-2807

013202/0969 PAGE 2

SERIAL NUMBER: 09896142  
PATENT NUMBER:

FILING DATE: 06/29/2001  
ISSUE DATE:

DIANE RUSSELE, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
[www.uspto.gov](http://www.uspto.gov)



\*102199561B\*

**AUTHORIZATION TO CHARGE ADDITIONAL FEES TO DEPOSIT ACCOUNT**

OCTOBER 29, 2002

TO: OFFICE OF FINANCE

FROM: ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

SUBJECT: DEPOSIT ACCOUNT CHARGE(S)

CHARGE THE DEPOSIT ACCOUNT LISTED BELOW ADDITIONAL FEE(S) AS INDICATED BELOW. AUTHORIZATION TO CHARGE ADDITIONAL FEES HAS BEEN PROVIDED PER THE ATTACHED COVER SHEET, OR BY DIRECT CONTACT WITH THE CUSTOMER.

DEPOSIT ACCOUNT NUMBER: 062425  
PROPERTY NUMBER: 09896142

**RECORDING FEES:**

FEE CODE: 8021 AMOUNT: 40

IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE, YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.

JEFFREY OLSEN, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

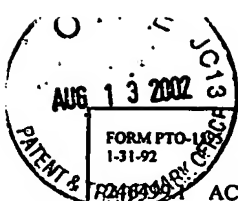
**TRADEMARK SERVICE FEES:**

**FEE CODE:**

RECORDING FIRST MARK	8521
RECORDATION SECOND AND SUBSEQUENT MARK IN SAME DOCUMENT	8522
LABOR CHARGES FOR SERVICES PER HOURS OR FRACTION THEREOF	8523
UNSPECIFIED OTHER SERVICES	8524

**PATENT SERVICE FEES:**

RECORDING EACH PATENT ASSIGNMENT, 8021  
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(\$30) OR FRACTION THEREOF  
UNSPECIFIED OTHER SERVICES 8024



08-22-2002



EET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeFORM PTO-1  
1-31-92

ACS-55614

102199561

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

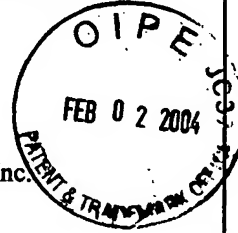
John E. Papp, Anuja Patel, Kent B. Stalker,  
Christopher Tarapata

8-13-02

## 2. Name and address of receiving party(ies):

Name: Advanced Cardiovascular Systems, Inc.

Internal Address:

Street Address: 3200 Lakeside DriveCity Santa Clara State CA ZIP 95054-2807Additional name(s) & address(es) attached? ☐ Yes ☒ No

Additional name(s) of conveying party(ies) attached? NO

## 3. Nature of Conveyance:

☒ Assignment ☐ Merger☐ Security Agreement ☐ Change of Name☐ OtherExecution Date: September 11, 2001; September 7, 2001;  
September 7, 2001; September 7, 2001

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 09/896,142

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: FULWIDER PATTON LEE &amp; UTECHT, LLP

Internal Address: Howard Hughes Center

Street Address: 6060 Center Drive, Tenth Floor

City: Los Angeles State: CA Zip: 90045

## 6. Total number of applications and patents involved: One (1)

7. Total fee (37 CFR 3.41):...\$ 40.00☒ Enclosed☒ Any deficiency/overpayment is authorized to be charged to deposit account

## 8. Deposit account number: 06-2425

DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*THOMAS H. MAJCHER

Name of Person Signing

Signature

August 5, 2002

Date

Total number of pages including cover sheet, attachments and document: Four (4)

OMB No. 0651-0011 (exp. 4/94)

ASSIGNMENT

This Assignment made by John E. Papp of Temecula, California; Anuja Patel of San Jose, California; Kent B. Stalker of San Marcos, California and Christopher Tarapata of North Andover, Massachusetts, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-2807.

WHEREAS, Assignors have invented a new and useful EMBOLIC PROTECTION SYTEMS for which an application for United States Letters Patent has been executed by them this day; and

WHEREAS, Assignors believe themselves to be the original, first and joint inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, Assignee desires to acquire by formal, recordable assignment the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Docket No. ACS-55614 (26271)

PATENT  
REEL: 012455 FRAME: 0094

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for said invention, whether on said application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment on the date written hereinbelow.

Assignor:

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
JOHN E. PAPP

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
ANUJA PATEL



Date: 9.7, 2001

Kent B. Stalker  
KENT B. STALKER

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
CHRISTOPHER TARAPATA

## ASSIGNMENT

This Assignment made by John E. Papp of Temecula, California; Anuja Patel of San Jose, California; Kent B. Stalker of San Marcos, California and Christopher Tarapata of North Andover, Massachusetts, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-2807.

WHEREAS, Assignors have invented a new and useful EMBOLIC PROTECTION SYTEMS for which an application for United States Letters Patent has been executed by them this day; and

WHEREAS, Assignors believe themselves to be the original, first and joint inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, Assignee desires to acquire by formal, recordable assignment the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Docket No. ACS-55614 (26271)

PATENT  
REEL: 012455 FRAME: 0097

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for said invention, whether on said application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment on the date written hereinbelow.

Assignor:

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
JOHN E. PAPP

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
ANUJA PATEL

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
KENT B. STALKER

Date: September 7, 2001

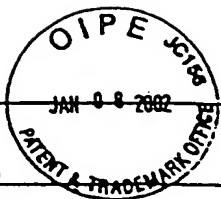
Christopher T. Tarapata  
CHRISTOPHER TARAPATA

-3-

Docket No. ACS-55614 (26271)

RECORDED: 01/08/2002

PATENT  
REEL: 012455 FRAME: 0099



01-15-2002



101949445

FORM FTD-1595  
1-31-92

216033.1 ACS-55614

RE

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):  
John E. Papp, Anjua Patel, Kent B. Stalker,  
Christopher Tarapata

Additional name(s) of conveying party(ies) attached? NO

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: September 11, 2001; September 7, 2001;  
September 7, 2001; September 7, 2001

2. Name and address of receiving party(ies):

Name: Advanced Cardiovascular Systems, Inc.

Internal Address:

Street Address: 3200 Lakeside Drive

City Santa Clara State CA ZIP 95054-2807

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 09/896,142

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: FULWIDER PATTON LEE & UTECHT, LLP

Internal Address: Howard Hughes Center

Street Address: 6060 Center Drive, Tenth Floor

City: Los Angeles State: CA Zip: 90045

6. Total number of applications and patents involved: One (1)

7. Total fee (37 CFR 3.41):...\$ 40.00

☒ Enclosed

☒ Any deficiency/overpayment is authorized to be charged to deposit account

8. Deposit account number: 06-2425

01/15/2002 DBYRHE 00000186 09896142

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01 FC:581 40.00.00

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

THOMAS H. MAJCHER  
Name of Person Signing

Signature

October 3, 2001  
Date

Total number of pages including cover sheet, attachments and document: Thirteen (13)

OMB No. 0651-0011 (exp. 4/94)

PATENT  
REEL: 012455 FRAME: 0087

## ASSIGNMENT

This Assignment made by John E. Papp of Temecula, California; Anuja Patel of San Jose, California; Kent B. Stalker of San Marcos, California and Christopher Tarapata of North Andover, Massachusetts, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-2807.

WHEREAS, Assignors have invented a new and useful EMBOLIC PROTECTION SYSTEMS for which an application for United States Letters Patent has been executed by them this day; and

WHEREAS, Assignors believe themselves to be the original, first and joint inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, Assignee desires to acquire by formal, recordable assignment the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Docket No. ACS-55614 (26271)

PATENT  
REEL : 012455 FRAME: 0088

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for said invention, whether on said application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment on the date written hereinbelow.

Assignor:

Date: SEPT. 11, 2001

John E. Papp  
JOHN E. PAPP

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
ANUJA PATEL

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
KENT B. STALKER

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
CHRISTOPHER TARAPATA



Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
KENT B. STALKER

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
CHRISTOPHER TARAPATA

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

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IN WITNESS WHEREOF, Assignors have executed this Assignment on the date written hereinbelow.

Assignor:

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
JOHN E. PAPP

Date: 9/7, 2001

Anuja Patel  
ANUJA PATEL

## ASSIGNMENT

This Assignment made by John E. Papp of Temecula, California; Anuja Patel of San Jose, California; Kent B. Stalker of San Marcos, California and Christopher Tarapata of North Andover, Massachusetts, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-2807.

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Docket No. ACS-55614 (26271)

PATENT  
REEL: 012455 FRAME: 0091

## ASSIGNMENT

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Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

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IN WITNESS WHEREOF, Assignors have executed this Assignment on the date written hereinbelow.

Assignor:

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
JOHN E. PAPP

Date: 9/7, 2001

Anuja Patel  
ANUJA PATEL

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
KENT B. STALKER

Date: \_\_\_\_\_, 2001

\_\_\_\_\_  
CHRISTOPHER TARAPATA



I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on August 5, 2002.

By

Thomas H. Majcher  
Thomas H. Majcher, Reg. No. 31,119

PATENT



IN THE UNITED STATES PATENT & TRADEMARK OFFICE

In re the application of \_\_\_\_\_ )

John E. Papp, et al. )

Serial No. 09/896,142 )

Filed: June 29, 2001 )

For: EMBOLIC PROTECTION )  
SYSTEMS )

Examiner: Unassigned \_\_\_\_\_

Group Art Unit: 3731

Docket No. ACS-55614

Los Angeles, California  
August 5, 2002

SECOND REQUEST FOR CORRECTED NOTICE OF  
RECORDATION OF ASSIGNMENT DOCUMENT

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Please change the name of ASSIGNOR as indicated on the enclosed copy of the Notice of Recordation of Assignment Document in red ink, from "Anjua" to --Anuja--.

A copy of the executed Assignment showing the correct spelling of the name

of Anuja Patel is attached.

Also enclosed you will find a Recordation Form Cover Sheet - Patents Only - indicating the correct spelling of the Assignor to be "Anuja Patel".

Prompt correction of the foregoing error and issuance of a corrected Notice of Recordation of Assignment Document is respectfully requested.

Respectfully submitted,

FULWIDER PATTON LEE & UTECHT, LLP

By:   
Thomas H. Majcher, Reg. No. 31,119

THM:mem

Enclosures:

Copy of Notice of Recordation  
of Assignment Document  
Recordation Form Cover Sheet  
- Patents Only  
Copy of Assignment (3 pages)  
Return Postcard

Howard Hughes Center  
6060 Center Drive, 10<sup>th</sup> Floor  
Los Angeles, California 90045  
Tel.(310) 824-5555  
Fax (310) 824-9696  
USPTO Customer No. 24201